



EXECUTIVE ORDER
No. 21, Series of 2023

TO : ALL CONCERNED

SUBJECT : REVISED UNIVERSITY AND EXTERNALLY FUNDED RESEARCH POLICY

DATE : August 24, 2023

Article 1
PURPOSE

The Polytechnic University of the Philippines (PUP) continuously cultivates a strong research culture. It recognizes the capability of its established and emerging knowledge producers. It acknowledges that sufficient financial support is needed to facilitate and undertake development-oriented, context-based, and scientifically sound research. In this regard, the University hereby implements this policy about funded research works that are proven and reviewed to be feasible and are expected to yield quality results.

The previous policies on funding support to University and Externally Funded Research Works accelerated the production of different delivery units in PUP. However, gaps were identified during the implementation. Hence, amendments and expansion of the previous orders are deemed necessary.

This policy contains specific and clear provisions about University and Externally Funded Research Works are hereby outlined. This supplements the BOR-Approved University policy on R & D Funding, Support, and Incentives (Approved by the BOR in its 144th Regular Meeting on March 26, 2014).

Article 2
SCOPE

This policy applies to all funded research works conducted and managed by the research institutes and offices that are approved by the University Research Evaluation Board for funding or approved by the external fund provider.

Article 3
GENERAL PROVISION

Section 1 Definition of Terms

1.1. Applied University Funded Research Work¹ (A-UFRW) refers to funded research work that is designed to solve practical problems of the modern world, rather than to acquire knowledge for knowledge's sake. The goal of the research work is to improve the human condition resulting in the development of a product for technology transfer or commercialization.

¹ Definition from Lawrence Berkeley National Laboratory



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- 1.2. **Basic University Funded Research Work² (B-UFRW)** refers to a funded systematic study directed toward greater knowledge or understanding of the fundamental aspects of phenomena and observable facts without specific applications toward processes or products in mind.
- 1.3. **Collaborating Institution** refers to the partner institution during the conduct of the FRW. The extent of the collaboration shall be defined through a Memorandum of Agreement to be facilitated by the concerned research delivery unit. This can be in the form of funding support, expert services, laboratory use, data collection result dissemination, etc.
- 1.4. **Externally Funded Research Work (EFRW)** refers to the research project proposed by any faculty member from any college/branch/research institute/centre and/or any administrative employee that is reviewed, approved, and sponsored by an external fund provider.
- 1.5. **Senior Project Support Staff³** refers to members of the research team who perform professional, technical, and scientific positions which involve professional, technical, or scientific work in a non-supervisory or supervisory capacity requiring at least four years of collegiate work.
- 1.6. **Junior Project Support Staff⁴** refers to members of the research team who perform research/technical related clerical, trades, crafts, and custodial service positions which involve non-professional or sub-professional work in a non-supervisory capacity requiring less than four years of college studies.
- 1.7. **Research Funding** refers to the funding support awarded to a research proposal from an eligible party as enumerated in Section 2. The research funding may cover, wholly or partly, the cost and/or other incidental expenses relating to the conduct of the proposed research. The research funding also covers honoraria, operating expenses, and costs of books and equipment. Other funding support may be given to the lead proponent and/or co-proponent such as a reduction of teaching load. This shall be managed by the Research Management Office (RMO) or the concerned research institute.
- 1.8. **Funded Research Work (FRW)⁵** refers to scholarly research works that are beyond the established research work assignment or workload of teaching and non-teaching personnel. FRW must be aligned with the URA, and SDGs, and is feasible to be implemented and completed within a specified period.

² Definition from Cornell University

³ DBM-DOST JC No. 1 S. 2013 Rules and Regulations on the Grants of Compensation-Related Magna Carta Benefits to Scientist, Engineers, Researchers, and Other Science and Technology (S&T) Personnel

⁴ DBM-DOST JC No. 1 S. 2013 Rules and Regulations on the Grants of Compensation-Related Magna Carta Benefits to Scientist, Engineers, Researchers, and Other Science and Technology (S&T) Personnel

⁵ Derived from the term Special Project as used in DBM-DOST JC No. 1 S. 2013 Rules and Regulations on the Grants of Compensation-Related Magna Carta Benefits to Scientist, Engineers, Researchers, and Other Science and Technology (S&T) Personnel



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1.9. **Team Leader**⁶ refers to the member of the research team who directly plans, organizes, supervises, and conducts the implementation of a basic unit of investigation of a specific R & D problem.

1.10. **University Funded Research Work (UFRW)** refers to the research work sponsored by the University and proposed by any faculty member from any college/branch/research institute/centre and/or any administrative employee and is aligned with the University Research Agenda (URA) and the United Nation's (UN) Sustainable Development Goals (SDGs). Allowed to be a basic or applied special research work, this research must be advantageous to the University in terms of publication, commercialization, intellectual property, and policy-making.

1.11. **University Research Evaluation Board (UREB)**⁷ refers to the board duly constituted to review the UFRW proposals as to their technical compliance (completeness and qualifications of proponents), quality, feasibility, necessity, relevance, and expected output. The UREB shall also assess if the research proposal is leading to the 6Ps of DOST, 6Ps pertain to Publication, Patent/Intellectual Property Rights (IPR), Products, People Services, Places and Partnerships, and Policy. More, UREB shall endorse the approved proposal to the concerned research delivery unit where the fund will be sourced. The endorsement, including the evaluation, shall be submitted to the Office of the Vice President for Research, Extension, Planning, and Development.

The UREB shall be composed of a chairman who is the director of the concerned research delivery unit, two (2) permanent members who are the chiefs of centres of the concerned research delivery unit, and two (2) alternate members who are considered experts in their respective fields per their research profile.

Section 2 Eligibility

2.1 In the case of UFRW, any of the following can be considered as the Team Leader:

2.1.1 Regular faculty members of the University with or without administrative designation;

2.1.2 Permanent administrative employees of the University;

2.2 In the case of EFRW, any permanent employee of the University as pre-selected by the external fund provider/s may be considered as the Team Leader;

2.3 Those who are disqualified as team leaders may qualify as Senior Project Support Staff and/or Junior Project Support Staff per approval of the university in the case of UFRW and external funding agency in the case of EFRW, and

2.4 Junior Project Support Staff who must be administrative employee/s of the university regardless of status.

6 DBM-DOST JC No. 1 S. 2013 Rules and Regulations on the Grants of Compensation-Related Magna Carta Benefits to Scientist, Engineers, Researchers, and Other Science and Technology (S&T) Personnel

7 Chapter 2 The University Research and Development Organization of the University Research and Development Manual



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Section 3 Disqualification

3.1 The following may be disqualified from receiving funding for their research:

- 3.1.1 Any employee with a previous incomplete University funded or externally funded research projects;
- 3.1.2 Any financially delinquent applicant as identified by the Accounting Office, or
- 3.1.3 Any employee who has three or more ongoing FRWs.

Section 4 Limitations

- 4.1 The project team shall have a maximum of four (4) members [not more than one (1) research collaborator and two (2) junior support staff in the case of basic FRW]. For the applied FRW, the number of project team members shall have a maximum of six (6) members [not more than two (2) research collaborators and two (2) junior support staff]. However, in exceptional cases that may be determined by UREB or an external funding agency, the team may have additional research members and/or assistants.
- 4.2 The basic FRW shall be implemented in a maximum of twelve (12) months, while a maximum of thirty-six (36) months shall be implemented for applied FRW. However, in the case of EFRW, the implementation shall be based on the approved proposal of the external funding agency. In special cases, the research project can be extended up to six (6) months subject to the approval of the University President upon the endorsement of the UREB.
- 4.3 The conduct/implementation of the research project shall not be intermittent. Regular submission of reportorial requirement/s shall be monitored by the Research Evaluation and Monitoring Center (REMC).
- 4.4 The project leader or any qualified member of the research team shall be held responsible for the research project fund. Hence, s/he shall be the Special Disbursing Officer (SDO), subject to the existing accounting rules and regulations.
- 4.5 In the case of EFRW:
 - 4.5.1 The policies and guidelines of the external funding agency/ies shall be consistent with those of the University in terms of honoraria and other funding support.
 - 4.5.2 All EFRWs that require endorsement from the University shall not be reviewed by the UREB since the approval shall come from the external funding agency.





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- 4.5.3 The agreement shall be legally binding between the external funding agency/ies and the University (colleges, branches, campuses, centres, institutes, etc.).
- 4.5.4 FRWs that are made in a personal capacity between any member/s of the University and the external funding agency/ies are excluded.
- 4.5.5 In the absence of a policy from the external funding agency/ies, this university policy shall be adopted.
- 4.5.6 The lump sum of the approved FRW must be deposited in the University account and shall be disbursed to the SDO.

Section 5 Amount and Source of Funding Support

- 5.1 All UFRWs shall observe integrity in the use of public funds and existing accounting and auditing rules and regulations.
- 5.2 All B-UFRWs shall have a budget ceiling of ₱1,000,000.00. This includes MOOE, labor, wages (for Junior Project Support Staff), and honoraria (Team Leader, Senior Project Support Staff).
 - 5.2.1 All B-UFRWs may not be entitled to purchase equipment above the identified capitalization threshold.
 - 5.2.2 Common office supplies needed for each B-UFRW that is available in the University shall be requested by the concerned research delivery unit. Otherwise, it would be subject to cash advance provided that a certificate of unavailability from the Property Management Office (PMO) is issued to the research team.
- 5.3 All A-UFRW shall have a budget ceiling of ₱5,000,000.00. This includes MOOE, labor, wages (for Junior Project Support Staff), and honoraria (Team Leader, Senior Project Support Staff).
 - 5.3.1 All A-UFRWs are entitled to purchase equipment above the identified capitalization threshold, provided that necessary documentary requirements are submitted and subject to Republic Act 9184⁸.
 - 5.3.2 Common office supplies needed for each B-UFRW that is available in the University shall be requested by the concerned research delivery unit. Otherwise, this is subject to cash advance provided that a certificate of unavailability from the Property Management Office (PMO) is issued to the research team.

⁸ Republic Act 9184 Government Procurement Reform Act





Article 4 IMPLEMENTING RULES AND REGULATIONS

Section 1 Basic Documentary Requirements

1.1 UFRW

- 1.1.1 Cover letter addressed to the Polytechnic University of the Philippines Vice President for Research, Extension, Planning, and Development through the concerned research delivery unit director
- 1.1.2 Research Project Proposal with Project Procurement Management Plan and Market Survey
- 1.1.3 Curriculum Vitae, Service Records, and Accounting Office Clearance of the Team Members
- 1.1.4 Memorandum of Agreement between the University and the collaborating institution
- 1.1.5 Contract of the University with the collaborating researcher outlining the deliverables and corresponding honorarium or wages (If applicable)

1.2 EFRW

- 1.2.1 Cover letter addressed to the Vice President for Research, Extension, Planning, and Development Polytechnic University of the Philippines through the concerned research delivery unit director
- 1.2.2 Copy of complete staff work (documents from submission to approval)
- 1.2.3 Copy of the contract between the University and the external funding agency

Section 2 Application Process

- 2.1 Cover letter with all the required documents enumerated in Section 6.0 shall be submitted to the concerned research institute/office.
- 2.2 Upon receipt of the application letter, UREB shall be immediately constituted.
- 2.3 The research proposal shall be examined and reviewed by the UREB.
- 2.4 Proponent/s of the denied research proposal shall receive a letter informing the research team of the reasons for the denial. Proponents of denied research proposals, when revised, may still re-apply.
- 2.5 All UFRW and EFRW shall secure ethics clearance from the University Ethics Committee.





- 2.6 Approved research proposals shall be endorsed to the Vice President for Research, Extension, Planning, and Development.
- 2.7 Once the Special Order is issued, the contract is signed, a cash advance has been received, and all necessary equipment has been made available, a Notice to Proceed shall be issued to the research team.
- 2.8 Process Flow

Please refer to the attached Annex for the Process Flow.

Section 3 Criteria for Assessment

- 3.1 The quality of the proposal. The quality of the proposal shall be evaluated through a double-blind peer-review process using an approved point system, with a 70% passing rate.
- 3.2 Alignment with the proponents’ specialization. The proposal’s topic must be aligned with at least one of the proponents’ fields of specialization.
- 3.3 Impact or commercialization. The impact or commercialization of the prospective outcome or results of the study on the institution, community, country, and world must be very evident.
- 3.4 Collaboration. The research proposal should collaborate with another government agency/ies, non-government organization/s (NGO/s), higher education institution/s (HEI/s), and/or industry/ies either sharing laboratories or co-funding. The level of collaboration shall be determined whether it is basic or applied research.

Type of Research	Level of Collaboration
Applied University Funded Special Research Work	International
Basic University-Funded Special Research Work	At least National

- 3.5 The collaborating institution of each EFRW shall be the funding agency.
- 3.6 The research proposal must be aligned with the University Research Agenda (URA) and with the United Nation’s SDG; must be advantageous for the University in terms of publication, commercialization, policy-making and patent/Intellectual property rights; and must be leading to the 6Ps of DOST.

Section 4 Funding and Priority

- 4.1 In the case of UFRW, the funding support is proposal-driven. Thus, this is subject to the availability of funds in the current fiscal year.
- 4.2 Priority shall be given to proposals that are aligned with the University Research Agenda (URA) and with the United Nation’s (UN) SDG.





- 4.3 The research funds are allocated and approved by the UREB. In the case of A-UFRW, MOOE (specifically food and representation) shall be released in full (100%) amount upon the approval of the EXECOM. In the case of B-UFRW, MOOEs such as supplies, and semi-expendable equipment shall be sourced from the concerned research delivery unit.
- 4.4 The honoraria of the research team will be released after the submission of terminal and financial reports, including a copy of the raw data and the transcript of the interview/s (if any) and the proof of submission of the publishable format of the completed FRW in Scopus or Web of Science (WoS) Core Collection indexed publication.
- 4.5 For all EFRWs, at least ten per cent (10%) of the total project cost shall go to the University research fund to cover administrative costs and to serve as a contingency fund for the EFRW.

Section 5 Other Funding Support

- 5.1 The approved research proposals are entitled to honoraria, salary, operating expenses, books and equipment, and other incidental expenses.
- 5.1.1 Honoraria for FRWs shall not exceed 25% of the annual basic salary of the personnel involved in the project based on the DOST Memorandum Circular no. 081 series 2009 or CHED Order (CO) No. 2, series 2011.

Level of Involvement	Amount of Honorarium
Team Leader	Php 8,800.00/month
Senior Project Staff	Php 7,500.00/month
Junior Project Staff	Php 4,800.00/month

- 5.1.2 Only the team leader may request for the release of the MOOE, subject to the approval of the President as recommended by the Vice President for Finance, and the Vice President for Research, Extension, Planning, and Development.
- 5.2 Other funding support includes expert services from the research institutes, the Institute for Data and Statistical Analysis (IDSA), the Research Publications Office (RPO), and the reduction of teaching load.
- 5.2.1 The lead proponent shall be entitled to a maximum of 12 units of reduction of teaching load and 6 units for the co- proponent/s. In the case of faculty designees as lead or co-proponents, the deloaded units shall be shared at their discretion.
- 5.2.2 Qualified part-time faculty members who are not employed in other agencies shall carry a maximum of 12 units of part-time teaching load. They shall be allowed, however, to handle temporary substitution teaching load.





Section 6 Reportorial Requirements

6.1 The RMO, through its Research Evaluation and Monitoring Center (REMC), shall periodically monitor the ongoing FRWs by the submitted plan of activities as evidenced by:

- 6.1.1 Quarterly Progress Reports
- 6.1.2 Liquidation reports;
- 6.1.3 Daily Time Record (DTR) indicating the time they have worked on the FRW and must be at least 100 hours signed by their immediate supervisor (dean, director, or Vice President) in the case of UFRW. However, in the case of EFRW, the representative from the funding agency shall sign DTR.

The working scheme below must be observed per week until the completion of the FRW.

Role	REAP	Deloaded	Outside Official Time	Total
Team Leader	10 hours	12 hours	3 hours	25 hours
Internal Project Staff (Teaching)	10 hours	6 hours	9 hours	25 hours
Internal Project Staff (Non-Teaching)	N/A	N/A	25 hours	25 hours
External Project Staff	N/A	N/A	25 hours	25 hours

6.1.4 Other supporting documents as may be deemed necessary.

Section 7 Acknowledgment to the University and the External Funding Agency(ies)

- 7.1 All UFRW research publications shall acknowledge the University as the institutional affiliation. In case the research work is published by PUP, the University shall be the corporate author and copyright holder.
- 7.2 All EFRW research publications shall acknowledge the external funding agency/ies and the University as the institutional affiliation. In case the research work is published by PUP, the University shall be the corporate author and copyright holder.

Section 8 Submission of Terminal Requirements

The research team shall submit terminal and financial reports, including a copy of the raw data and the transcript of the interview/s (if any), co-authorship agreement and the proof of submission of the publishable format of the completed project in Scopus or WoS Core Collection indexed publication.



Section 9 Claim of Honoraria

- 9.1 The proponents must submit the following requirements:
- 9.1.1 Attestation that the project was done beyond the official time
 - 9.1.2 RMO Certificate of documentary compliance and project completion
 - 9.1.3 DTR
- 9.2 Proponents must request the claim of honoraria not later than one month after the submission of the terminal requirements; and
- 9.3 Must submit other requirements by COA Circular no. 2012- 001 dated June 14, 2012.

Section 10 Ownership and Dissemination of Results

- 10.1 The policy of the external funding agency/ies on ownership and dissemination of results must be strictly followed. In the absence of policy in this matter, the University’s policy on ownership and dissemination of results shall be observed.
- 10.2 In cases of A-UFSRW which are viable for commercialization, the copyright, royalties, and other economic rights shall be determined by the University and the Research Team by the following proportion:

Research Team	60%
University	40%

- 10.4 The results of the B-UFSRW must be presented and/or published in Scopus/ WOS Core Collection-indexed conferences and publication within three (3) years after the project completion. For applied research projects which are viable for commercialization, a patent/utility model application from IPOPhil through IPMO must be secured for the intellectual property protection of the owners and the benefit of the University and/or the stakeholders immediately after the completion of the project. However, the research proponent/s shall seek the approval of the University and the external fund provider/s before any mode of dissemination of results.

Section 11 Termination

All FRWs shall be automatically terminated when the deadline for their completion expires without a written request for an extension being filed and/or approved. The research team may also request in writing for the termination of the research project at any time during the implementation of the project.

When terminated, the research team shall be responsible for the immediate submission of the reimbursement report and liquidation report by existing policies. Expenses covered in the Maintenance and Other Operating Expenses (MOOE) such as supplies and materials, communication, travel expenses, meals, and others shall not be reimbursed but shall be properly liquidated by existing policies.





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Section 12 Sanction

12.1 The approving authority has the right to withhold benefits and incentives in case of failure of the proponent/s to submit progress reports without due cause.

12.2 Proponent/s who fail/s to comply with the terms of the grants shall reimburse the full amount received to the external fund provider/s. Furthermore, they shall be disqualified from any University grant and other funding support.

Article 5 SAVING CLAUSE

Cases not covered by the provisions of this Policy shall be submitted to the Office of the President for resolution.

Article 6 REPEALING CLAUSE

All previous issuances and other provisions that are inconsistent with any of the provisions of this Policy are deemed amended, repealed, and superseded accordingly.

Article 7 EFFECTIVITY

Effective immediately upon the approval of the Board of Regents during its 181st Regular Board Meeting held on July 7, 2023.

(Sgd.) MANUEL M. MUHI, DTech, ASEAN Engr.
President

